

LIMITED SERVICES CONTRACTS PROCEDURES

Modified: April 1, 2016

The following procedures will be used by all Units when procuring services from Private Engineering Firms (PEF) that have approved Limited Services Contracts (LSC). These procedures will be followed whenever a Section determines that LSC work is needed, including original task orders and any supplemental work.

A. Task Order Establishment

1. The Section Head shall send an e-mail the Unit Head requesting approval for LSC work. The email shall include the name of the desired PEF, a summary and justification of the work (task order) to be performed, and an approximate cost.
2. The Unit Head will review and notify the Section Head by e-mail of the approval/disapproval of the request.
3. If approval is given by the Unit Head, the approval email shall be forwarded to the Division Staff Engineer.
4. The Division Staff Engineer shall deduct the approximate cost from the current LSC amounts sheet.
5. The Section shall set/develop scoping and requirements, and select appropriate discipline codes, for/with the firm.
6. Once the scoping and requirements have been completed, and the discipline code(s) have been selected, the Section and the PEF shall independently compile estimates (work effort and cost). Direct costs/expenses (copies, mileage, subsistence, etc.) shall adhere to the most recent "Maximum Allowable Non-Salary Direct Costs" approved by NCDOT. Neither the Section nor the PEF shall see, review, or discuss the other parties' estimates with each other.
7. The Section shall select a Project Manager for the task order. The Project Manager is accountable for all negotiations and approval of estimates, work performed under the task order, quality control of deliverables, verification of percent completed, and approval of all invoices.
8. The Project Manager shall complete the Account Initiation Request (AIR) form for the task order (work).
9. The Project Manager shall email the scope/requirements, Section estimates, and AIR form to the Professional Services Management Unit (PSMU) for review using an appropriate email subject line (such as "Traffic Data Collection Process Efficiencies – VHB – TRA (Safety)" or "Traffic Data Collection Support – HMM – TRA (Safety) – Supp #3"). Do not send anything to the PEF.
10. The Project Manager will receive the reviewed estimates from PSMU. If no negotiations are needed, the Project Manager shall provide an emailed response of approval to the PSMU. If changes or negotiations are needed, then the Project Manager shall schedule a date/time with the PEF and Division Staff Engineer to review the scope/requirements and negotiate the work effort and cost (once complete, the Project Manager and PEF shall email revised estimates to the PSMU).
11. The PSMU will issue a Notice to Proceed (NTP) once they receive final approve from the Project Manager.

12. The Project Manager shall ensure they receive copies of the signed NTP and the signed “Subconsultant Form RS-2” (RS-2) from the PEF.
13. The Project Manager shall forward, by email, a copy of the signed NTP and signed RS-2 to the Division Staff Engineer, the Division Business Officer, and the Division Processing Assistant.
14. The Project Manager shall inform the PEF by email that all invoices are to be submitted to the Division Staff Engineer.

B. Invoicing

1. Once invoices are received by the Division Staff Engineer, they will be forwarded to the Project Manager with a one week deadline for review and approval. Only Project Managers and their upward supervisory chain of command have authority to approve invoices for any given task order.
2. Project Managers are responsible for ensuring an invoice is correct and that all the work listed on the invoice has been satisfactorily completed.
3. Once approved, the Project Manager shall return the invoice to administrative staff as indicated on the buck slip. Project Managers should keep a copy of approved invoices for their records.
4. If an invoice cannot be approved by the deadline date, justification shall be sent by email from the Project Manager to the Division Staff Engineer, the Division Business Officer, and the Division Processing Assistant.
5. Overdue invoices that do not have justification shall receive late notices by Division administrative staff.